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| <b>TRANSMITTAL LETTER TO THE UNITED STATES<br/>DESIGNATED/ELECTED OFFICE (DO/EO/US)<br/>CONCERNING A SUBMISSION UNDER 35 U.S.C. 371</b>   |  | ATTORNEY'S DOCKET NUMBER<br>0074- 510401                      |
| INTERNATIONAL APPLICATION NO.<br>PCT/NZ02/00055   | INTERNATIONAL FILING DATE<br>03 April 2002 | U.S. APPLICATION NO. (If known, see 37 CFR 1.5)<br>10/509,721 |
| TITLE OF INVENTION<br>CONTINUOUS METHOD FOR PRODUCING INORGANIC NANOTUBES   |  |   |
| APPLICANT(S) FOR DO/EO/US<br>JOHN ABRAHAMSON  |  |   |
| Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:   |  |   |
| 1. <input type="checkbox"/> This is a <b>FIRST</b> submission of items concerning a submission under 35 U.S.C. 371.   |  |   |
| 2. <input checked="" type="checkbox"/> This is a <b>SECOND</b> or <b>SUBSEQUENT</b> submission of items concerning a submission under 35 U.S.C. 371.  |  |   |
| 3. <input type="checkbox"/> This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (21) indicated below.   |  |   |
| 4. <input type="checkbox"/> The US has been elected (Article 31).   |  |   |
| 5. <input type="checkbox"/> A copy of the International Application as filed (35 U.S.C. 371(c)(2)) <ul style="list-style-type: none"> <li>a. <input type="checkbox"/> is attached hereto (required only if not communicated by the International Bureau).</li> <li>b. <input type="checkbox"/> has been communicated by the International Bureau.</li> <li>c. <input type="checkbox"/> is not required, as the application was filed in the United States Receiving Office (RO/US).</li> </ul>  |  |   |
| 6. <input type="checkbox"/> An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)). <ul style="list-style-type: none"> <li>a. <input type="checkbox"/> is attached hereto.</li> <li>b. <input type="checkbox"/> has been previously submitted under 35 U.S.C. 154(d)(4).</li> </ul>  |  |   |
| 7. <input type="checkbox"/> Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3)) <ul style="list-style-type: none"> <li>a. <input type="checkbox"/> are attached hereto (required only if not communicated by the International Bureau).</li> <li>b. <input type="checkbox"/> have been communicated by the International Bureau.</li> <li>c. <input type="checkbox"/> have not been made; however, the time limit for making such amendments has NOT expired.</li> <li>d. <input type="checkbox"/> have not been made and will not be made.</li> </ul> |  |   |
| 8. <input type="checkbox"/> An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).   |  |   |
| 9. <input checked="" type="checkbox"/> An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).   |  |   |
| 10. <input type="checkbox"/> An English language translation of the annexes of the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).   |  |   |
| <b>Items 11 to 20 below concern document(s) or information included:</b>  |  |   |
| 11. <input checked="" type="checkbox"/> An Information Disclosure Statement under 37 CFR 1.97 and 1.98.   |  |   |
| 12. <input type="checkbox"/> An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.  |  |   |
| 13. <input checked="" type="checkbox"/> A preliminary amendment.  |  |   |
| 14. <input checked="" type="checkbox"/> An Application Data Sheet under 37 CFR 1.76.  |  |   |
| 15. <input type="checkbox"/> A substitute specification.  |  |   |
| 16. <input type="checkbox"/> A power of attorney and/or change of address letter.   |  |   |
| 17. <input type="checkbox"/> A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 37 CFR 1.821- 1.825.  |  |   |
| 18. <input type="checkbox"/> A second copy of the published International Application under 35 U.S.C. 154(d)(4).  |  |   |
| 19. <input type="checkbox"/> A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).  |  |   |
| 20. <input checked="" type="checkbox"/> Other items or information: Transmittal of Letter to the DO/EO/US; post card receipt  |  |   |

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

|   |              |   |         |                          |              |
|---|--------------|---|---------|--------------------------|--------------|
| U.S. APPLICATION NO. (if known, see 37 CFR 1.5)   |              | INTERNATIONAL APPLICATION NO.   |         | ATTORNEY'S DOCKET NUMBER |              |
| 10/509,721  |              | 3 April 2002  |         | 0074-510410              |              |
| The following fees have been submitted  |              |   |         | CALCULATIONS             | PTO USE ONLY |
| 21. <input checked="" type="checkbox"/> Basic national fee  |              |   |         | \$ 300.00                |              |
| 22. <input checked="" type="checkbox"/> Examination fee<br>If International preliminary examination report prepared by USPTO and all claims satisfy provisions of PCT Article 33(1)-(4) .. \$100<br>All other situations .. \$200   |              |   |         | \$ 200.00                |              |
| 23. <input checked="" type="checkbox"/> Search fee<br>Search fee (37 CFR 1.445(a)(2)) has been paid on the international application to the USPTO as an International Searching Authority .. \$100<br>International Search Report prepared and provided to the Office .. \$400<br>All other situations .. \$500 |              |   |         | \$ 500.00                |              |
| TOTAL OF 21, 22 and 23 =  |              |   |         | \$ 1000.00               |              |
| <input type="checkbox"/> Additional fee for specification and drawings filed in paper over 100 sheets (excluding sequence listing or computer program listing filed in an electronic medium).<br>The fee is \$250 for each additional 50 sheets of paper or fraction thereof.                                   |              |   |         |                          |              |
| Total Sheets  | Extra Sheets | Number of each additional 50 or fraction thereof (round up to a whole number) | RATE    |                          |              |
| - 100 =   | /50 =        |   | x \$250 | \$                       |              |
| Surcharge of \$130.00 for furnishing the oath or declaration later than 30 months from the earliest claimed priority date (37 CFR 1.492(h)).  |              |   |         | \$ 130.00                |              |
| CLAIMS  | NUMBER FILED | NUMBER EXTRA  | RATE    | \$                       |              |
| Total claims  | 63 - 20 =    | 43  | x \$ 50 | \$ 2150.00               |              |
| Independent claims  | 2 - 3 =      | 0   | x \$200 | \$                       |              |
| MULTIPLE DEPENDENT CLAIM(S) (if applicable)   |              |   | + \$360 | \$ 360.00                |              |
| TOTAL OF ABOVE CALCULATIONS =   |              |   |         | \$ 3640.00               |              |
| <input checked="" type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. Fees above are reduced by 1/2.   |              |   |         | 1820.00                  |              |
| SUBTOTAL =  |              |   |         | \$ 1820.00               |              |
| Processing fee of \$130.00 for furnishing the English translation later than 30 months from the earliest claimed priority date (37 CFR 1.492(i)).   |              |   |         | \$                       |              |
| TOTAL NATIONAL FEE =  |              |   |         | \$ 1820.00               |              |
| Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property  |              |   |         | \$                       |              |
| TOTAL FEES ENCLOSED =   |              |   |         | \$ 1820.00               |              |
|   |              |   |         | Amount to be refunded:   | \$           |
|   |              |   |         | Amount to be charged:    | \$           |

- a. ☒ A check in the amount of \$ 1820.00 to cover the above fees is enclosed.
- b. ☐ Please charge my Deposit Account No. \_\_\_\_\_ in the amount of \$ \_\_\_\_\_ to cover the above fees.  
A duplicate copy of this sheet is enclosed.
- c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 04-1406. A duplicate copy of this sheet is enclosed.
- d. ☐ Fees are to be charged to a credit card. **WARNING:** Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

**NOTE:** Where an appropriate time limit under 37 CFR 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the International Application to pending status.

SEND ALL CORRESPONDENCE TO:

Customer Number 000110  
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1601 Market Street, Suite 2400  
Philadelphia, PA 19103-2307  
Tel: 215-563-4100  
Fax: 215-563-4044

*Vincent T. Pace*  
SIGNATURE

Vincent T. Pace, Reg. No. 31,049  
NAME

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

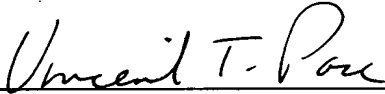
|  |  |
|--|--|
| U.S. Application No.<br>10/509,721   | Applicant's or Agent's File Reference<br>0074-510401 |
| <b>IDENTIFICATION OF THE INTERNATIONAL APPLICATION</b>                                     |  |
| Int'l Appln. No.<br>PCT/NZ02/00055   | Int'l. Filing Date<br>3 April 2002                   |
| Applicant (name)<br><b>JOHN ABRAHAMSON</b>   |  |
| <b>TRANSMITTAL OF LETTER TO THE UNITED STATES<br/>DESIGNATED/ELECTED OFFICE (DO/EO/US)</b> |  |

**CERTIFICATE OF MAILING UNDER 37 C.F.R. §1.8(a)**

I hereby certify that this Correspondence is being deposited on **June 28, 2005**, with the United States Postal Service as first-class mail in an envelope properly addressed to COMMISSIONER FOR PATENTS, Alexandria, Virginia 22313-1450.

**June 28, 2005**

Date of Certificate



Vincent T. Pace

PTO Registration No. 31,049

We are enclosing the following for the above-identified application:

- 1) Transmittal Letter to the United States Designated/Elected Office (DO/EO/US) Concerning a Filing Under 35 U.S.C. 371 (Form PTO-1390) (**SECOND** or **SUBSEQUENT** submission);
- 2) Copy of Form PCT/DO/EO/905;
- 3) Declaration, Power of Attorney and Power to Inspect;
- 4) Preliminary Amendment;
- 5) Information Disclosure Statement, including Form PTO-1449 and copies of listed documents, other than issued US patents/published US patent applications;
- 6) Government Fees (small entity): basic national fee (\$150); examination fee (\$100); search fee (\$250); excess claims fees (\$1075); multiple dependent claim fee (\$180); and late oath or declaration surcharge (\$65): check in the amount of \$1820.00.

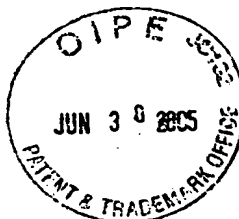


## UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE  
 United States Patent and Trademark Office  
 Address: COMMISSIONER FOR PATENTS  
 P.O. Box 1450  
 Alexandria, Virginia 22313-1450  
 www.uspto.gov

|   |  |                           |
|---|--|---------------------------|
| U.S. APPLICATION NUMBER NO.<br>10/509,721 | FIRST NAMED APPLICANT<br>John Abrahamson | ATTY. DOCKET NO.<br>0074- |
|---|--|---------------------------|

110  
 DANN, DORFMAN, HERRELL & SKILLMAN  
 1601 MARKET STREET  
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 PHILADELPHIA, PA 19103-2307



INTERNATIONAL APPLICATION NO.

PCT/NZ02/00055

I.A. FILING DATE

PRIORITY DATE

04/03/2002

CONFIRMATION NO. 9661

371 FORMALITIES LETTER



\*OC000000015894398\*

Date Mailed: 04/28/2005

### NOTIFICATION OF MISSING REQUIREMENTS UNDER 35 U.S.C. 371 IN THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US)

The following items have been submitted by the applicant or the IB to the United States Patent and Trademark Office as a Designated / Elected Office (37 CFR 1.495).

- Indication of Small Entity Status
- Copy of the International Application filed on 10/01/2004
- Copy of the International Search Report filed on 10/01/2004
- Copy of IPE Report filed on 10/01/2004
- Copy of Annexes to the IPER filed on 10/01/2004
- U.S. Basic National Fees filed on 10/01/2004

The following items **MUST** be furnished within the period set forth below in order to complete the requirements for acceptance under 35 U.S.C. 371:

- Oath or declaration of the inventors, in compliance with 37 CFR 1.497(a) and (b), identifying the application by the International application number and international filing date.
- \$65 Surcharge for providing the oath or declaration later than 30 months from the priority date (37 CFR 1.492(e)) is required.

#### SUMMARY OF FEES DUE:

Total additional fees required for this application is \$65 for a Small Entity:

- \$65 Late oath or declaration Surcharge.

**ALL OF THE ITEMS SET FORTH ABOVE MUST BE SUBMITTED WITHIN TWO (2) MONTHS FROM THE DATE OF THIS NOTICE OR BY 32 MONTHS FROM THE PRIORITY DATE FOR THE APPLICATION, WHICHEVER IS LATER. FAILURE TO PROPERLY RESPOND WILL RESULT IN ABANDONMENT.**

The time period set above may be extended by filing a petition and fee for extension of time under the provisions of 37 CFR 1.136(a).

Applicant is reminded that any communications to the United States Patent and Trademark Office must be mailed to the address given in the heading and include the U.S. application no. shown above (37 CFR 1.5)

*A copy of this notice **MUST** be returned with the response.*

KAREN M WILLIAMS

Telephone: (703) 308-9140 EXT 213

PART 1 - ATTORNEY/APPLICANT COPY

| U.S. APPLICATION NUMBER NO. | INTERNATIONAL APPLICATION NO. | ATTY. DOCKET NO. |
|-----------------------------|-------------------------------|------------------|
| 10/509,721                  | PCT/NZ02/00055                | 0074-            |

FORM PCT/DO/EO/905 (371 Formalities Notice)